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TRANSMITTAL LETTER			Case No. 8406/4
Serial No. 08/868,200	Filing Date June 3, 1997	Examiner E. Stanley	Group Art Unit 2762
Inventor(s) Howard B. Garber			
Title of Invention SYSTEM AND METHOD FOR TRADING HAVING A PRINCIPAL MARKET MAKER			

TO THE ASSISTANT COMMISSIONER FOR PATENTS

Transmitted herewith is Amendment.

Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.

- ☐ A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.
- ☐ Petition for a _____ month extension of time.
- ☐ No additional fee is required.
- ☐ The fee has been calculated as shown below:

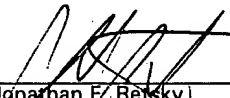
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra
Total	54	Minus	51	3
Indep.		Minus		
First Presentation of Multiple Dep. Claim				

Small Entity	
Rate	Add'l Fee
x \$11 =	33
x \$41 =	
+ \$135 =	
total add'l fee	\$33

Other Than Small Entity	
Rate	Add'l Fee
x \$22 =	
x \$82 =	
+ \$270 =	
total add'l fee	\$

- ☒ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$33.00. A duplicate copy of this sheet is enclosed.
- ☐ A check in the amount of \$_____ to cover the filing fee is enclosed.
- ☒ The Assistant Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☒ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,


Jonathan E. Retsky
Registration No. 34,415
Attorney for Applicant

BRINKS HOFER GILSON & LIONE
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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on May 18, 1998.

Date: 5/18/98 Signature: 

rev. Oct-97
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